



Small Business Express Program – List of Required Documents to Initiate an Application

- ☐ **One-page Small Business Express Program Application** (Online version or paper version with date)
- ☐ **Ownership:** (submit as a separate sheet)
 - ☐ **1.** List of individuals with an ownership interest in the business: (for each) full name, title and address
 - ☐ **2.** Federal Employer Identification Number (FEIN) and Social Security Number(s)
 - ☐ **3.** % of ownership of the business for each owner (e.g., each member of the LLC, all board of directors)
 - ☐ **4.** Identify the % of the business that is owned by women, if applicable
 - ☐ **5.** Identify the owners of ethnic minority, if applicable
- ☐ **Additional Information:**
 - ☐ **1.** Project Financing Plan & Budget, with project start and end dates, signed and dated (Please note that the budget form can be revised during the review process if necessary.); **AND**
 - ☐ **2.** Company financials:
 - ☐ **a.** Last three fiscal years of accountant-prepared financials, including notes **OR**
 - ☐ **b.** The following financial reports:
 - ☐ (1) Copies of the last 3 years income tax filings for company; **AND**
 - ☐ (2) accountant-compiled quarterly financials (e.g., Jan 1 to: Mar 31; Jun 30; Sep 30; Dec 31):
 - ☐ **i.** balance sheet (assets and liabilities),
 - ☐ **ii.** profit & loss statement (income and expense statement),
 - ☐ **iii.** cash flow statement; **AND**
 - ☐ (3) any information that helps to explain the current financial condition (such as copies of: current loans payable term sheets, real estate purchase agreements, signed machinery and equipment leasing or purchase agreements, summary of pending legal actions with monetary value, etc.)
 - ☐ **c.** Evidence of matching funds for EXP grant requests (e.g., business bank account balance, available line of credit, bank loan) ; **AND**
 - ☐ **3.** Brief Project Description, Use of Funds Request (including supplemental details); **AND**
 - ☐ **4.** Brief Business Plan; **AND**
 - ☐ **5.** Applicant Structure Documentation:
 - ☐ **a.** Articles of Incorporation (corporation) or Articles of Organization (LLC), **AND**
 - ☐ **b.** By-Laws (corporation) or Operating Agreement (LLCs, LLPs, partnerships);
 - ☐ **6.** Schedule A – Salaries (jobs, hours, pay rate);
 - ☐ **7.** Copy of a signed lease (if asking for partial rent on the project financing plan and budget).
 - ☐ **8.** Does this company export outside the USA? Y / N -- Provide a Strategic Export Plan (if applicable)
 - ☐ **9.** DECD Schedule of Existing Employees (Exhibit A) and DOL Release (Exhibit B).
 - ☐ **10.** Letter of Good Standing from the Department of Revenue Services (DRS) available at www.ct.gov/DRS (click on Taxpayer Service Center).
 - ☐ **11.** Personal Financial Statement

All documents must be submitted to DECD by email, with each document attached separately. Each file should be labeled with the name of the document. Documents should be emailed to Michelle.Peters@ct.gov. If you do not have the ability to scan documents, please let Michelle Peters know so we can provide an alternative way to submit the supporting documents.

DECD may request more information to assess accuracy/viability of the proposals and to secure financing.
No guaranty of funding approval.